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JC987 U.S. PTO  
12/24/01GIRARD & EQUITZ LLP  
400 Montgomery Street, Suite 1110, San Francisco, CA 94104  
415/433-2250

Address to:

Box PATENT APPLICATION  
Commissioner for Patents  
Washington, D.C. 20231Attorney's Docket No. SII-1000First Named Inventor SEUNG HO HWANGJC979 U.S. PTO  
10/036234  
10/12/21UTILITY PATENT APPLICATION TRANSMITTAL  
( under 37 CFR 1.53(b) )

SIR:

Transmitted herewith for filing is the patent application entitled:

**ENCODING METHOD AND SYSTEM FOR REDUCING INTER-SYMBOL INTERFERENCE  
EFFECTS IN TRANSMISSION OVER A SERIAL LINK**

## CERTIFICATION UNDER 37 CFR § 1.10

I hereby certify that this New Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date December 24, 2001 in an envelope bearing "Express Mail Post Office To Addressee" Mailing Label Number EE 246132842 US addressed to: Box PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.

Jacob S. Zweig

(Name of person mailing paper)

Jacob Zweig  
(Signature)

Enclosed are:

- I. ☒ Transmittal Form (two copies required)
- II. The papers required for filing date under CFR § 1.53(b):
- 44 Pages of specification (including claims and abstract);
  - 5 Sheets of drawings.  
— formal ☒ Informal
- III. Declaration or oath
- ☒ New original - [UNSIGNED]
  - Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Item 12 completed)
  - Incorporation By Reference (to be used if Item 3b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Item 3b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

- DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
- IV. — Microfiche Computer Program (Appendix, see 37 CFR 1.96)
- V. — Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

## ACCOMPANYING APPLICATION PARTS

- VI. ☐ An assignment of the invention to ☐ is attached (including Form PTO-1595).
- ☐ The prior application is assigned of record to ;  
Assignment recorded in PTO on ☐, Reel ☐, Frame(s) ☐.
- ☐ The prior application is assigned, and the assignment (copy attached) was submitted to PTO for recording on ☐.
- i. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
- VII. ☐ Power of Attorney
- VIII. ☐ An Information Disclosure Statement (IDS) is enclosed, including a PTO-1449 and ☐ references.
- IX. ☐ Preliminary Amendment.
- X. ☒ Return Receipt Postcard (MPEP 503 -- should be specifically itemized)
- XI. ☒ Other - Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i).

### **XII. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information**

- ☐ Continuation  
☐ Divisional  
☒ Continuation-In-Part (CIP)

of immediately prior application No. **09/954,663**, filed **September 12, 2001**.

- i. RELATE BACK - 35 USC 120: If one of the above boxes are checked, please amend the specification by inserting before the first line the sentence: --This is a continuation-in-part of Application No. 09/954,663, filed September 12, 2001.--

**[Note to form user: lines for item 12 are intentionally spaced to permit Examiner amendments.]**

- ii. MAINTENANCE OF COPENDENCY OF PRIOR APPLICATION  
(This item must be completed and the necessary papers filed in the prior application if the period set in the prior application has run).  
☐ A petition, fee and response has been filed to extend the term in the pending prior application until ☐.
- iii. CONDITIONAL PETITIONS FOR EXTENSION OF TIME IN PRIOR APPLICATION  
(Complete this item and file conditional petition in prior application if previous item (ii) not applicable).  
☐ A conditional petition for extension of time is being filed in the pending prior application.

### **XIII. FOREIGN PRIORITY**

- ☐ Priority of application no. ☐ filed on ☐ in ☐ is claimed under 35 USC 119.

#### XIV. FEE CALCULATION

- a. ☐ Amendment changing number of claims or deleting multiple dependencies is enclosed.
- b. ☐ Cancel in this application original Claims    of the prior application before calculating the filing fee.

#### CLAIMS AS FILED

	Number Filed	Number Extra	Rate	Basic Fee (\$740)
Total Claims	75 - 20	*55	x \$18.00	990.00
Independent Claims	4 - 3	*1	x \$84.00	84.00
<input type="checkbox"/> Multiple dependent claim(s), if any			\$280.00	

\*If less than zero, enter "0".

Filing Fee Calculation .....\$1,814.00

50% Filing Fee Reduction (if applicable). . . . . \$

#### XV. Small Entity Status

- a. ☐ A small entity statement is enclosed.
- b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
- c. ☐ is no longer claimed.

#### XVI. Other Fees

- ☐ Recording Assignment [\$40.00].....\$
- ☐ Other fees .....
- Specify .....

Total Fees Enclosed.....\$1,814.00

#### XVII. Payment of Fees

- ☒ A check in the amount of \$1,814.00 is enclosed.  
Charge Account No. 50-1697 in the amount of \$.  
A duplicate of this transmittal is attached.

#### XVIII. All correspondence regarding this application should be forwarded to the undersigned attorney:

Alfred A. Equitz  
GIRARD & EQUITZ LLP  
400 Montgomery Street, Suite 1110  
San Francisco, CA 94104  
Telephone: 415/433-2250  
Facsimile: 415/433-2255

#### XIX. Authorization to Charge Additional Fees

- ☒ The Commissioner is hereby authorized to charge any additional fees (or credit any overpayment) associated with this communication and which may be required under 37 CFR § 1.16 or § 1.17 to Account No. 50-1697. A duplicate of this transmittal is attached.

GIRARD & EQUITZ LLP

December 24, 2001  
(Date)

Attorney Docket No. SII-1000

By: Alfred A. Equitz  
Alfred A. Equitz  
Registration No. 30,922  
Attorney(s) or Agent(s) of Record

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

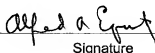
**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	SEUNG HO HWANG	
Title	Encoding Method and System for Reducing Inter-Symbol Interference Effects in Transmission...	
Atty Docket Number	SII-1000	

I hereby certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

December 24, 2001

Date



Signature

Alfred A. Equitz, Reg. No. 30,922

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

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